



THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. 09/803,667
Confirmation No. 9714
Filing Date: March 12, 2001
Title Fully-Automated System for Tax Reporting, Payment and Refund and
System for Accessing Tax Information
Examiner Susanna M. Meinecke Diaz
Art Unit 3623
Attorney Docket No. 31921-169499
Customer No. 26694

Fourth Information Disclosure Statement Under 37 C.F.R. § 1.97(b)

Honorable Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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Sir:

This is a Fourth Information Disclosure Statement submitted under 37 C.F.R. § 1.97 within the time specified under 37 C.F.R. § 1.97(b). The U.S. Patent and Trademark Office is notified of the documents which are listed on the attached Form PTO-1449. One copy of each of the listed documents is submitted herewith.

Further, U.S. Patent 6,202,052, which is submitted herewith as document A11 and to which this application claims priority, is currently the subject of litigation in the U.S. District Court of Delaware, Simplification, LLC v. Block Financial Corp., Civil Action No 03-335 (JJF), which was filed on April 8, 2003. The Office is aware of this litigation, having been informed by the Delaware District Court, which sent a report to the Office on the date that the suit was filed.

Moreover, a Request for Ex Parte Reexamination for U.S. Patent No. 6,202,052 was filed on July 11, 2003 and assigned Reexam Control No. 90/006,713. Documents D1-D11 and E1-E5 listed on the attached Form PTO-1449 are newly cited in the Request for Ex Parte

Reexamination. A copy of the Request for Ex Parte Reexamination is submitted herewith.

During litigation of U.S. Patent No. 6,202,052, in the Defendant's Block Financial Corporation's Answers to Plaintiff's First Set of Interrogatories, filed August 26, 2003, the defendant newly identified documents A4, C1, and C2 listed on the attached Form PTO-1449. A copy of the Defendant's Block Financial Corporation's Answers to Plaintiff's First Set of Interrogatories is submitted herewith.

In addition, U.S. Patent No. 6,697,787, which is submitted herewith as document A15, is currently the subject of litigation in the U.S. District Court of Delaware, Simplification, LLC v. Block Financial Corp., Civil Action No. 04-0114 (JJF), which was filed on February 24, 2004. Again, the Office is, of course, aware of this matter, as having been informed by the Delaware District Court, which sent a report to the Office on the date that the suit was filed.

During the litigation of U.S. Patent No. 6,697,787, the defendant alleged inequitable conduct during prosecution of U.S. Patent No. 6,697,787 in the Answers and Counterclaims filed March 15, 2004. Moreover, in the Answers and Counterclaims, the defendant newly identified document A3 listed on the attached Form PTO-1449. A copy of the Answers and Counterclaims is submitted herewith.

Moreover, a Request for Ex Parte Reexamination for U.S. Patent No. 6,697,787 was filed on March 15, 2004 and assigned Reexam Control No. 90/006,969. Documents A5 and B1 listed on the attached Form PTO-1449 are newly cited in the Request for Ex Parte Reexamination. A copy of the Request for Ex Parte Reexamination is submitted herewith.

Finally, during the prosecution of U.S. Patent No. 6,697,787, documents A1 and C7-C10 were cited by the Examiner.

In view of the above, no further translation or statement of relevance is required, and as

all requirements of 37 C.F.R. § 1.97 and all official guidelines pertaining to Information Disclosure Statements have been complied with, it is therefore respectfully requested that the Examiner consider the documents and make them of record.

Respectfully submitted,

Date: April 26, 2004



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Sheet	1	of	4
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Application Number	09/803,667
Filing Date	March 21, 2001
First Named Inventor	David S. MILLER
Group Art Unit	3623
Examiner Name	Susanna M. Meinecke Diaz
Attorney Docket Number	31921-169499

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A1	4,970,655		Winn	11-13-1990	
	A2	5,505,461		Bell et al.	04-09-1996	
	A3	5,644,724		Cretzler	07-01-1997	
	A4	5,644,742		Shen et al.	07-01-1997	
	A5	5,737,592		Nguyen	04-07-1998	
	A6	5,799,283		Francisco et al.	08-25-1998	
	A7	5,819,249		Dohanich et al.	10-06-1998	
	A8	5,875,435		Brown et al.	02-23-1999	
	A9	5,875,433		Francisco et al.	02-23-1999	
	A10	6,183,140	B1	Singer et al.	02-06-2001	
	A11	6,202,052	B1	Miller	3-13-2001	
	A12	6,289,319	B1	Lockwood	09-11-2001	
	A13	6,311,170	B1	Embrey	10-30-2001	
	A14	6,347,304	B1	Taricani, Jr.	02-12-2001	
	A15	6,697,787	B1	Miller	2-24-2004	

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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	09/803,667
Sheet 2 of 4				Filing Date	March 21, 2001
				First Named Inventor	David S. MILLER
				Group Art Unit	3623
				Examiner Name	Susanna M. Meinecke Diaz
				Attorney Docket Number	31921-169499

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	C1	This Week's Lead Story #1: Highwaymaster, TTSI to Offer Automated Fuel Tax Reporting, <i>Inside ITS</i> , September 11, 1995.	
	C2	Qualcomm Press Release, March 12, 1997, QUALCOMM Introduces OnTrax State Mileage Reporting Software.	
	C3	Randall, et al., "First Looks", Massachusetts CPA Review, Vol. 70, No. 1, pp. 30-32, Winter 1996	
	C4	Brozovsky, et al., "Tax Deposits Go Electronic", CPA Journal, Vol. 65, No. 12, pp. 53-54, December 1995	
	C5	"Tax Prep Software: Our Third Annual Face-Off", Accounting Technology, Vol. 10, No. 10, pp. 20-63, November 1994	
	C6	"SALES/USE Tax System", Taxware International, Inc., September 1999, http://www.taxware.com/ZProducts/salesuse/sutaxsys.html	
	C7	Filing Govt. Statements Electronically, Harper, Robert M., Jr.; Hoffman, Michael R, Journal of Accounting & EDP, v2, n2, pp 52-56, Summer 1986	
	C8	Computers and the Tax Professional. Throneberry, Mary Beth; Malley, John C.; Wallace, William D., National Public Accountant, v32, n5, pp. 20-24, May 1987	
	C9	Make April 15 less taxing—TurboTax finds deductions even accountants miss., Middleon, Timothy, Computer Life, March 1, 1995, v2, n3, pp. 159-162	
	C10	CA-Infopoint Combined Interest Reporting. Computer Associates International, Inc., DR 01/90	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Sheet	3	of	4

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	D1	Screenshots from the electronic publication, TaxCut 1994 Filing Edition, distributed via floppy.	
	D2	Electronic publication entitled "TaxCut 1995 Filing Edition", distributed via 4 3/5" floppy disks, copyright 1995-96.	
	D3	Screenshots from the electronic publication, Tax Cut 1995 Filing Edition, distributed via 4 3/5" floppy disks, copyright 1995-96.	
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	D5	Kiplinger TaxCut User Guide for the 1995 Tax Season, copyright 1987-1995.	
	D6	Printout of selected portions of the Help file from the electronic publication, TaxCut 1995 Filing Edition, distributed via 4 3.5" floppy disks, copyrighted 1995-96.	
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	D9	Cover of box from distribution of electronic publication, Tax Cut 1996 Filing Edition, copyright 1997.	
	D10	Intuit Press Release of January 30, 1996, entitled "Intuit Announces 15 More Financial Institutions To Deliver Online Banking".	
	D11	Intuit Press Release of December 17, 1996, entitled "More Small Businesses Find Success As They Go Online".	

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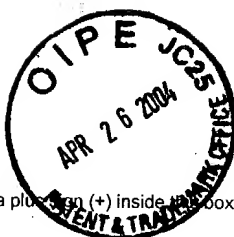
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Sheet 4 of 4

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	E1	Microsoft Press Release of November 18, 1996, entitled "Microsoft Announces Availability of Active Statement Technology For Microsoft Money 97".	
	E2	"Taxing Matters: Updating Technology at the Internal Revenue Service", Wasson, J.; Vol. 7, Issue 2, <u>EDI Forum</u> (1994) p.59-63 (ISSN: 1048-3047).	
	E3	"State Tax Reporting Via the Electronic Highway", Lyon, J.; Vol. 6, Issue 3, <u>EDI Forum</u> , (1993) p. 30-35 (ISSN: 1048-3047).	
	E4	"This Just In Getting Back to Business: Tax Prep Software Doesn't Add Up To 1040. Expect More For the Money from 1065, 1120, and 1120S Business Tax Software This Season.", Cohn, M.; <u>Accounting Technology</u> , (January 1996) p. 29-39.	
	E5	Kiplinger TaxCut Quick Start Guide; Filing Edition-Tax Year 1996.	

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